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ABSTRACT

The effective evaluation of superintendents can be of great use to both school boards and the superintendents themselves. This booklet on superintendent evaluation begins with an outline of the general development of evaluation methods from informal assessments to sophisticated, mutually conducted, written performance reviews. The uses of essay evaluations, graphic rating scales, forced choice ratings, work standards, performance standards, evaluation by objectives, and management by objectives are described. The requirements and benefits of a good evaluation program are discussed and ten steps in the development of such a program suggested, along with strategies for conducting the evaluations themselves. The document provides samples of the forms used in several popular evaluation processes. (PGD)

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Superintendent Career Development Series No. 6

Evaluating the Superintendent

A Joint Publication of the American Association of School Administrators and the National School Boards Association

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Evaluating the Superintendent

Reviewed and Approved by
The Joint AASA-NSBA Committee

Original Manuscript by George B. Redfern

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Superintendent Career Development Series

Books in this series include:

- **Guidelines for the Preparation of School Administrators**
- **Selecting a Superintendent**
- **The Superintendent's Contract**
- **Compensating the Superintendent (Summary Report)**
- **The Administrative Leadership Team**
- **Evaluating the Superintendent**

A full report on **Compensating the Superintendent** is also available through the American Association of School Administrators.

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It is our hope that this booklet, together with other materials on school board evaluation of superintendents prepared by state school boards and school administrator associations, will serve as a valuable resource to our nation's school boards and superintendents.

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Introduction

School boards want to be assured that the superintendent serving their school system is effective in providing leadership for that system. ***Superintendents*** want to be assured that they are doing a good job . . . that they are, indeed, living up to the expectations of their school boards and their communities. A good evaluation system may provide that assurance for ***both*** the superintendent and the school board.

A lack of clear objectives and feedback on how school board members feel about progress being made toward meeting those objectives can result in hidden agendas or breakdowns in communication between school boards and administrators. The absence of an effective system of evaluation can result in a feeling of insecurity for chief school executives.

Superintendents must function in a challenging environment. With school closings, inflation, curriculum changes and other issues facing them each day, they are often caught in the center of a societal hurricane. The frustration of constantly dealing with volatile issues can lead to excessive stress, even burnout, and a high rate of turnover. Superintendents need the policy direction of their school boards, but they also need their reinforcement for a job well done. Sincere, earned recognition from school boards can be a great help to school administrators. And that recognition can result from a good system of evaluation.

While a great deal has already been written on the subject, there is a need to delve as deeply as possible into the various ways superintendents are or can be evaluated by school boards. A thorough examination of different approaches to evaluation can lead to a program that is best for your community.

Superintendents and school boards may wish to draw upon the contents of this resource book to draft evaluation procedures or to revise those which exist. Several programs are explained because no single approach can be expected to serve the needs of all of our nation's 16,000 school systems.

While the evaluation method chosen by a school board is important, the way it is accomplished is critical. For that reason, ***Evaluating the Superintendent*** places greater emphasis on "the how" than on "the what" of evaluation.

Joint AASA-NSBA Statement

The following "Joint AASA/NSBA Statement on Superintendent Evaluation" puts this publication into proper perspective:

> "Though individual school board members have many opportunities to observe and evaluate a superintendent's performance, it is clear that such informal evaluations cannot provide the board with a complete picture of the superintendent's effectiveness in carrying out her (his) complex job. Regular, formal evaluations offer boards the best means of assessing their chief administrator's total performance. Conducted properly they benefit the instructional program of the school district by:
>
> • enhancing the chief administrator's effectiveness
>
> • assuring the board that its policies are being carried out
>
> • clarifying for the superintendent and individual board members the responsibilities the board relies on the superintendent to fulfill
>
> • strengthening the working relationship between the board and superintendent.
>
> To gain these benefits boards must commit themselves to the belief that all individuals can improve if given the opportunity to do so. This commitment should take the form of a written policy which:
>
> • makes explicit the board's belief that evaluations should be constructive experiences to enhance performance
>
> • assures the superintendent that he (she) will know the standards against which he (she) will be evaluated, and will be involved in their development
>
> • asks, before the board as a whole evaluates the superintendent, that individual board members and the superintendent measure the chief administrator's performance against the agreed upon standards
>
> • schedules the board as a whole to review all evaluations of the superintendent's performance at regular intervals—at least once a year before discussing renewal of the superintendent's

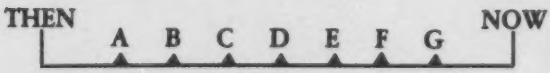
Chapter 1

SEEKING PERSPECTIVE:

The Development of Evaluation Systems

Past practices in evaluating superintendents have been something of an eclectic patchwork of techniques and procedures. To a certain extent, present practices still lack structure and cohesiveness. However, there is emerging evidence that boards and superintendents are now working together to design well-structured and useful techniques.

The following continuum depicts past practices and the emergence of improved techniques. Actual dates for "then" and "now" would vary from one school system to another:



- **A** = No planned procedures; reliance upon word-of-mouth assessments
- **B** = Informal assessments; minimal feedback to superintendent
- **C** = "Report Card" type evaluations; heavy reliance upon trait rating
- **D** = Refinement of checklist rating techniques; more feedback to superintendent
- **E** = Better definitions of executive duties/responsibilities; emergence of performance standards; pre- and post-assessment conferences
- **F** = Use of performance objectives; more emphasis upon results achieved

Preface

The word "evaluation" has traditionally had a threatening ring, especially for those being evaluated.

"Will I measure up?" "What if I don't?" Those gnawing questions have caused consternation for many school administrators and other school personnel. School boards have shared the concern about evaluation, because evaluation of the superintendent and the effectiveness of the district's program are important components in school governance. "What constitutes good performance?" "How can we measure it?" These are vital questions for school boards.

For too long, superintendent evaluation was extremely informal. "So long as everything is OK, you won't hear from us." Never sure how the school board viewed his (her) performance, the superintendent could not help but feel a twinge of insecurity.

The need for an effective superintendent evaluation system led to checklists, rating scales and essays. While these evaluation methods allow school boards an opportunity to express views on the superintendent's performance, they leave something to be desired.

Today, many believe superintendent evaluation should be part of a planning process in which the school board has an integral role. Once needs are determined by the school board, mutual school board-superintendent objectives can be established. Using those objectives, superintendent evaluation becomes more than a report on what the superintendent did or did not do. The process also becomes developmental, leading to improvement in programs and performance.

We are grateful to Dr. George Redfern, former Associate Executive Director of AASA and currently a consultant for the National Association of Elementary School Principals (NAESP) for preparing the original manuscript for this book. Dr. Redfern is a respected authority on personnel evaluation. The manuscript was reviewed, modified, and approved by the Joint AASA-NSBA Committee, the AASA Executive Committee, and the NSBA Board of Directors. The result is a publication that includes the views of both school administrators and school board members.

contract, and preferably half-way through the school year as well, so the superintendent can receive guidance in areas where need is seen for improvement

- specifies that the board's evaluation will occur at a scheduled time and place, with no other items on the agenda, at a study or executive session with all board members and the superintendent present

- requires the board's evaluation to include discussions of both strengths and weaknesses, but stipulates that each judgment be supported by as much rational and objective evidence as possible

- states that evaluation results will be used by the board and superintendent as they cooperatively set job targets by which the superintendent's performance will be measured in the ensuing year; results also may be used as the basis for planning a program of professional development.

The policy also may invite the superintendent to request an evaluation of the board's own performance if the executive believes such a session would help clarify his (her) role."

This joint American Association of School Administrators–National School Boards Association statement provides the foundation for evaluating the superintendent.

G = Reciprocal evaluation techniques (two-way assessments); improvement in performance made a high priority in the evaluation process

School systems are at various stages along the continuum. Some evaluation practices are unrefined, but considerable improvement has taken place during the last ten years. However, in many cases, much remains to be done.

The practice of informal, unwritten evaluations of the superintendent's performance prevailed for a long time. As long as things went well, there seemed little need to let the superintendent know how he was doing. Only when operations failed did it seem necessary to total up the assets and liabilities of the superintendent. The trouble with that practice was that it often occurred too late to correct the initial difficulty.

Gradually, it became obvious that there were definite advantages to systematic, written evaluations.

The impetus for improvement probably stemmed from a mutual desire to do a better job in personnel management. The superintendent could see how planned, regularly scheduled evaluations not only provided timely feedback about performance, but also made it possible to use assessment results as a springboard for further improvement and development. The board was able to make accountability a much more meaningful concept. Most of all, the school system gained greater stability and continuity in top-management.

It should be pointed out that various forms of checklists have been the most common and

widely used form of superintendent evaluation. However, other evaluation procedures have also developed. The trend today runs toward evaluation based upon pre-determined objectives.

Essay Evaluations

Quite simply, this technique requires the evaluator(s) to write a brief narrative statement listing the superintendent's strengths and weaknesses. Board members write separate statements and sometimes have the board president consolidate the essays. The narrative statements are given to the superintendent. Then, a conference is held to elaborate on assessments and provide an opportunity for the superintendent to respond. The inclusion of a conference adds strength to the process.

The major drawback of essay evaluation is the variability in length and content. The latitude for ambiguous, fence-straddling statements is also great. Essay evaluations have not caught on and probably have never been widely used.

Graphic Rating Scales

Another approach that has gained some popularity is the graphic rating scale. A list of traits and desirable qualities in management performance constitute one axis of a scale. Numerical ratings make up the other. The rater plots the point at which the two coincide. Connecting lines are used to join the points. The result is a line graph representing how the rater views an individual's performance. Separate ratings often are compiled into a composite and given to the superintendent. Normally, a midpoint (average) horizontal line is drawn to show where the superintendent's performance is above, at, or below average effectiveness.

Because graphic rating scales give the appearance of being objective measures, they became popular as an evaluation tool. Many variations of this technique are still in use.

Forced Choice Rating

A third type of rating is a forced choice technique. It has the advantage of reducing rater bias and, to some degree, establishing a basis for more accurate comparisons of current and past performance. The rater chooses from among a series of statements the one that ***best*** describes performance in a given area of responsibility. Sometimes the rater is also asked to indicate the item that ***least*** typifies performance. The rater is not told the scoring weights for each item on the scale, which, in theory, reduces the possibility of guessing the "right or best" answer.

Forced choice rating has not been widely used. It is a complex instrument to construct and raters complain that it doesn't allow them to make individualized assessments.

A variety of checklists and rating scales have existed over the years. Their popularity stemmed from the fact that they appeared to be clean-cut, objective, and easy to use. Checklists and scales also conformed to the popular concept of evaluation. They matched government service forms and bore a striking similarity to fitness reports used in the armed forces.

In essence, they were little more than "adult report cards," providing a "runs, hits, and errors" assessment. Because they were post-performance evaluations, the only way the person being evaluated could improve was to "wait until next year." This deficiency prompted a movement toward pre-planning and periodic evaluations by the board.

Some of the newer evaluation techniques include the following:

Work Standards

Work standards establish performance goals or targets aimed at improving executive productivity. To be effective, the standards must be concrete, fair, and reasonable. The individual, knowing what the standards are, can attempt to match them with performance.

One of the problems in using work standards is in formulating them. Basically, individual board members often have varying opinions about what the standards should be. Getting agreement often proves difficult.

The advantage of pre-determined work standards is that the superintendent knows what is expected.

Performance Standards

Similar to work standards, performance standards usually are determined by the superintendent and approved by the board as a part of pre-evaluation planning.

The starting point is an up-to-date job description. The superintendent develops one or more standards of achievement which she (he) will endeavor to attain during the year.

An example of a performance standard in the area of employee relations might be:

> "I will consider myself successful in collective bargaining during the current year if satisfactory contracts can be agreed to by the board and bargaining agents of ***all*** groups with whom the school system bargains, and agreements are reached within a 90-day time span."

The key to this approach is that specific objectives have measurable results.

The superintendent sets and the board reviews and approves performance standards at the beginning of the period covered by the evaluation, making final assessment quite easy. The objective either is or is not achieved. A measurable result is the key factor. Performance standards can be made as demanding as circumstances permit. On the other hand, standards must be realistic. There is no point in establishing unattainable objectives. This method of evaluation facilitates the accountability concept in management.

Evaluation by Objectives

Another variation on performance standards is evaluation by objectives. The process begins with an agreement by the superintendent and board on a list of responsibility criteria (job description and performance standards).

The superintendent identifies certain areas of emphasis, and develops specific objectives and action plans for responding during a given time period.

At the end of the year, the superintendent completes a self-assessment describing to what extent objectives have been reached. The board reviews this assessment and completes an evaluation of its own on the superintendent's total performance. This two-phase assessment process enables the superintendent to show degrees of accomplishment in specific objectives. And the board is able to assess the superintendent's overall performance.

Management by Objectives (MBO)

An evaluation component is included in management by objectives. To the extent that the superintendent accepts responsibility for directing the completion of certain projects and programs it is possible for the board to assess his (her) performance.

As in "evaluation by objectives," the superintendent assumes responsibility for setting (in cooperation with the board) specific objectives based upon job responsibilities and individual priorities.

It should be pointed out, however, that some superintendents dislike assuming this initiative because they do not wish to engage in autonomy with respect to evaluation.

MBO is usually considered a form of comprehensive planning to attain programmatic goals and objectives for the entire school system. While it has an evaluation phase, it is better used to assess program achievements than to evaluate a superintendent's performance.

Some form of work or performance standards, along with specific objectives, are being used with increasing frequency.

School boards, however, probably will be inclined to use a variety of techniques, as determined by their own views and preferences. Good evaluation can be achieved in various ways provided the process is thoughtfully planned, cooperatively implemented, and completed in a professional manner.

Chapter 2

NEEDS AND BENEFITS:

Communication, Ownership & Improvement

Educational management, especially at the top level, is demanding, complex, and filled with risk. Therefore, planning and evaluation are keys to success. Effective executive leadership results from deliberately planned and carefully executed management programs and activities. ***Superintendents*** need assurance that evaluation will be carried out in a systematic way. ***Boards*** need to feel that they are using accurate and reliable assessment tools.

The joint AASA/NSBA statement on superintendent evaluation clearly focuses on the needs, and the benefits good evaluation programs can and should achieve. Additional needs and benefits include:

Understandings at the Time of Employment

At the time a superintendent is employed, it is important to discuss the method that will be used to assess performance. In fact, a provision should be included in the contract clarifying how evaluations will be conducted. Today, more and more superintendents and boards are insisting on clarification of evaluation procedures at employment time.

Communications Channels

A good evaluation process can be an effective channel for communication between superintendent and board. Evaluation provides at least

three opportunities to promote good communication:

Pre-evaluation planning enables both parties to discuss plans, programs and projects the superintendent might undertake during the year. The advantage of this interchange is obvious. Mutual agreement and understanding about the direction and thrust of short and long range plans results in greater cohesiveness.

Some evaluation plans call for ***periodic checkup conferences*** between the superintendent and board to determine whether plans are materializing into desired results. These conferences also help to determine whether changes are needed in programs and projects. The number of interim checkups will vary. At the minimum, one midpoint conference is useful. Some plans call for quarterly checkups. The number is less important than the on-going communication which is generated.

The ***final review conference*** is very important. It is at this conference that results can be assessed and their implications discussed.

The greatest advantage of good communication throughout the evaluation process is that it reduces the likelihood of surprises at "the end of the line."

Priority Identification

During the evaluation process, board members have an opportunity to identify possible priorities for the superintendent. Similarly, the superintendent has an opportunity to indicate priorities for the school system. Priorities help to establish direction when time, talent and other resources are scarce.

Because setting priorities is an essential part of effective management, it should be built into the evaluation process.

Job Content and Clarification

It may seem almost elemental to say that the job content of the superintendency should be explicit and clear. Yet, there is considerable need for improvement in this area.

Job descriptions are often drawn for the purpose of employing a superintendent. Therefore, many need to be updated. Unforeseen circumstances can alter job requirements. Individuals also tend to alter job descriptions by doing those things they feel most comfortable doing and avoiding aspects of the job they find least satisfying.

Perhaps job descriptions are most frequently altered because of new or unforeseen circumstances which tend to supersede the written requirements of the job.

Whatever the reasons for change, job descriptions must be kept up-to-date particularly if used as a foundation for evaluating executive performance. (See sample job description, page 22.)

Basis for Planning

Evaluation can be a starting point for planning. Current performance is often measured through use of a needs assessment checklist. This procedure provides an indication of areas that may call for emphasis and can give a sense of direction to both the superintendent and board.

Given an inventory of what needs to be done, the superintendent now has a list to guide his (her) efforts during the coming year. Planning can be accomplished with a greater degree of

purpose. Objectives can be set with greater confidence and desired outcomes can be pursued with increased assurance.

Achievement of Mutual Benefits

A sound evaluation program serves the best interests of both the superintendent and board. At its best, cooperative evaluation builds a strong bond of mutual interest in superintendent-board relations. An important element of cohesiveness is non-exploitation. Neither the superintendent nor the board should seek to exploit the other. They must function as "partners" in achieving the goals and purposes of the school system.

Opportunities for collaboration are multiplied when evaluation processes are shared. Teamwork supplants the temptation to operate in such a manner that one triumphs at the expense of the other.

The limits of responsibility and authority are well defined and shared. Behavior is rational and reasonably free of inordinate competitiveness. Openness is encouraged. In this framework, differences of opinion can be dealt with in a forthright manner. In short, the dividends of cooperative evaluation are well worth the effort.

The potential for schisms in superintendent-board relationships appears to be on the increase. Some of these difficulties probably have their origin within the school system itself. Strains and divergent opinions exist within most organizations. As chief executive, the superintendent often suffers the consequences of internal power struggles. The board may also become involved in disputes. If the problems can be solved reasonably well, superintendent-board relations may not be adversely affected. If the problems are not satisfactorily resolved, superintendent-board

relations may become strained even to the breaking point.

A brief examination of the potential for rifts in superintendent-board relations demonstrates another reason why sound evaluation procedures are so important. Impaired communication can strain all relationships within the school system. And poor communication can be a symptom of low commitment.

Some superintendents and boards believe that commitment can be restored through affirmative action. They allocate funds to generate better downward communication. Yet often the results are disappointing because they are based on faulty assumptions. Truly effective public relations efforts involve both one-way and two-way communication.

Top educational management and boards hire, assign, supervise, promote, transfer, set pay scales, write rules and regulations, retire and terminate school employees. In doing so they exercise considerable power over people. It is not the exercise of power so much as the concept of power itself that lessens commitment. The concept of power divides the total educational organization into two sharply defined groups. Management, which is seen as the board and the superintendent, has one set of interests which are often seen by subordinates as opposed to their own interests.

Employee reactions to the power struggle are frequently ambivalent. On the one hand, they feel resentment and hostility when the school system seems unresponsive to their concerns. On the other hand, most employees do not question the right of the school system to exercise a reasonable amount of power. Not to do so could

result in lack of order, discipline and perhaps even cause chaos. Of course, that would not be in the best interests of the employees or the school system.

So, while employees accept the school system's right to exercise power, at the same time they often adopt a "them and us" or "them and me" complex. They see themselves as excluded subordinates. The right to access is thought to be minimal or even non-existent.

But where does the power actually originate? One source is economic. As an employee, it is necessary either to conform to the mandates of the job or risk undesirable consequences, penalties or even loss of employment.

Another source of power has nothing to do with organizational mandates. It derives from the work ethic. As employees, individuals hold certain work values. Having a job is good. Hard work has its rewards. Cooperation is desirable. Loyalty is a worthy attribute. Obeying reasonable rules can be satisfying. In short, employees do what the school system wants not solely because they fear losing their jobs. They conform because they do not want to be traitors to their own value systems. In a broad sense they themselves are the power source of the school system.

But what is happening to these two sources of power? Economic power which the school system can exercise is dwindling. Legislation, court decisions, collective bargaining and other internal and external factors circumvent economic power. Terminations are subject to due process. Promotions and compensation are subject to provisions of a negotiated contract. Management prerogatives are being diluted.

Even the work ethic is being challenged. Having a job is good, but not just any job. Hard work is good, but how it is made more satisfying is as important. Sacrifice for home and family is good, but doing one's own thing is also prized. Loyalty is good, but it has to be a worthy cause in order to justify commitment.

These factors have a direct bearing on the evaluation of the superintendent. The superintendent's ability to cope with these difficulties may determine his (her) own employment fate.

Evaluation must be more than a post-performance report card. The fact is, evaluation can be used as a tool to help a superintendent develop the ability to handle problem areas. It can become a preventive instrument as well as a report on past performance.

Job Description **(Example)**

Title:	Superintendent of Schools (Position)
Qualifications:	Degree(s), experience, certification, and such other qualifications that may be required
Reports to:	Board of Education
Job Goal:	Statement of the broad thrust of the position

Performance Responsibilities:

1. _____
2. _____
3. _____
4. _____
5. _____ Specific duties and _____
6. _____ work tasks involved _____
7. _____ in the position
8. _____
9. _____
Etc. _____

Terms of Employment: Statement of conditions of employment

Evaluation: Statement of conditions of evaluation

Approved by: _____ (Superintendent) **Date:** _____

Reviewed and agreed to by: _____ (Board of Education) **Date:** _____

Chapter 3

MEANS AND METHODS:

Developing the Evaluation Plan

With effective procedures established for evaluating the superintendent, the next step becomes designing and developing a good program.

Purposes and Outcomes

The starting point is to determine the thrust of the program, to clarify purposes and desired outcomes. One way to get underway is for the superintendent and board to exchange views about purposes and outcomes. Presumably the superintendent has certain expectations which the evaluation process will help in meeting. The board will also have expectations.

It is a good practice to develop a list of purposes. Here are samples:

Purposes

The process for evaluating the superintendent will:

- Describe clearly the duties and responsibilities of the superintendent
- Clarify the board's expectations of his (her) performance
- Enable the superintendent to know how he (she) stands with the board
- Identify both areas of strength and weakness in the superintendent's performance
- Improve communication between the board and superintendent

- Provide ways by which needs for improvement can be met
- Foster a high trust level between the superintendent and board
- Enable the board to hold the superintendent accountable for carrying out its policies and responding to its priorities

Outcomes

The evaluation process will provide:

- An annual written assessment of the current status of the superintendent's performance
- A continuing record of the effectiveness of the superintendent
- Tangible evidence upon which to base decisions to renew the superintendent's contract and set his (her) salary
- Documentation to be used when the superintendent's contract may not be renewed or termination action is under consideration
- Opportunity for the superintendent to discuss the results of his (her) evaluation with the board.

It is doubtful that most superintendents would need a bonus mechanism to motivate them to high achievement. Even so, such a plan may be useful in focusing on specific projects which, when successfully achieved, would justify an additional reward to the superintendent. While intrinsic recognition will suffice in most situations, the importance of an extrinsic reward should not be discounted.

- ***Achieving accountability through evaluation.*** The relationship between accountability and evaluation lies in the ways evaluation produces tangible evidence that the policies and programs

of the school system have been carried out successfully and in conformance with the board's expectations.

Evaluation helps identify needs and priorities and translate them into goals and objectives. Reliance on opinion and subjective judgment is reduced. And evaluation provides a method for assuring the accountability of the superintendent in administering the educational program of the district. It must be emphasized, however, that using evaluation as the accountability mechanism is not likely to work well unless the type of evaluation stresses specific objectives with measurable results. Broad generalizations, derived from subjective judgments of evaluators, are too unreliable for establishing accountability in concrete terms.

Steps in Developing an Evaluation Program

1. Decide on the type of evaluation. The board and superintendent should discuss the type (format) that appears to be most satisfactory to both parties. The evaluation plan should be based upon sound premises and should be developed for long-range use, not necessarily to satisfy the preferences of incumbents. The choice of type may be based on one of the examples listed in Chapter five.

- ***When to develop an evaluation program.*** If an evaluation program does not exist, one should be undertaken without delay. If an existing program needs updating or revision, it should become a matter of concern. The dimensions of the evaluation process should be thoroughly discussed at the time of the superintendent's appointment. In fact, that is an appropriate time to review an existing evaluation plan and make modifications, if changes are needed.

As with most important aspects of personnel management, the best time to develop or revise an evaluation program is when it can be done in an atmosphere of reasonable calm—as free as possible from tension on the part of either the board or superintendent.

The initiative should be taken jointly to:

1. Establish purposes and outcomes.
2. Review the "literature" to get ideas from other school systems or research sources.
3. Discuss the most appropriate type of evaluation for the school system. If it is a matter of revising an existing program, decide the modifications to be made.
4. Construct the program.
5. Adopt the program and put it into operation.

• ***Provisions in the contract.*** As has been indicated, it is wise to put a section in the superintendent's contract that covers evaluation. The following illustrates such a provision:

> **"*EVALUATION.* The board of Education shall evaluate and assess in writing the performance of SUPERINTENDENT at least once a year during the term of this agreement. This evaluation and assessment shall be reasonably related to the position description of SUPERINTENDENT and the goals and objectives of the DISTRICT for the year in question.**
>
> **SUPERINTENDENT shall submit to the Board of Education a recommended format for this written evaluation and assessment of his (her) performance within ninety (90) days of the effective date of this agreement. The Board of**

Education shall meet and discuss the evaluation format with the SUPERINTENDENT, attempting in good faith to agree on the development and adoption of a mutually agreeable evaluation format. In any event, the Board shall adopt an evaluation format within 150 days of the effective date of this agreement and shall evaluate the SUPERINTENDENT pursuant thereto within."

"At least once each fiscal year, DISTRICT and SUPERINTENDENT shall meet in closed executive session (unless specifically prohibited by state law) for the purpose of mutual evaluation of the performance of DISTRICT and SUPERINTENDENT. In the event that the Board determines that the performance of the SUPERINTENDENT is unsatisfactory in any respect, it shall describe in writing, in reasonable detail, specific instances of unsatisfactory performances. The evaluation shall include recommendations as to areas of improvement in all instances where the board deems performance to be unsatisfactory. A copy of the written evaluation shall be delivered to the SUPERINTENDENT. The SUPERINTENDENT shall have the right to make a written reaction or response to the evaluation. This response shall become a permanent attachment to the SUPERINTENDENT'S personnel file. Within thirty days of the delivery of the written evaluation to the SUPERINTENDENT, the Board shall meet with the SUPERINTENDENT to discuss the evaluation."

• ***Relating compensation to evaluation.*** Relating salary directly to evaluation is an option the board and superintendent may wish to consider. However, to do so will require a type of evalua-

tion that fits the performance standards or evaluation by the objectives approach. The reason is clear. Results must be clear to take the guesswork out of the process. Checklists are inadequate.

In general, evaluation results using conventional techniques are not reliable enough to establish the superintendent's salary. It is likely that the salary would be determined in other ways, i.e., negotiated by the board and superintendent, based upon the size of the district, the scope of duties and responsibilities, and controlled to some extent by past practices. However, evaluation results determined by some form of evaluation by objectives, may be used as a means to grant a bonus over and above the established salary.

(a) Checklist/rating scale

(b) Graphic profile of performance

(c) Narrative description of effectiveness in major areas of responsibility

(d) Performance standards related to major areas of responsibility

(e) Evaluation by objectives and assessment of overall performance

(f) Combination of one or more of the above

Once the type of evaluation is determined, it is necessary to decide who will draft the procedures.

2. Determine developer. The superintendent or designee(s) may assume the responsibility of drafting the plan and procedures. The nature of the task makes it preferable to have an individual or a few persons do the job. The board can function best in a reviewing role.

3. Gather ideas and collect materials. Useful ideas and helpful materials can be obtained by reviewing the literature, by obtaining evaluation plans and procedures from other comparable school systems, and by contacting key research service agencies. A productive source in the latter instance is the Educational Research Service whose survey capabilities are national in scope.

4. Analyze and use the data. Research information can be used in a variety of ways. A common technique is the eclectic approach, i.e., to adapt promising procedures which appear to fit the local situation. Another is to use the data to generate ideas, enabling the development "architects" to design original approaches.

5. Complete preliminary draft. This is the first draft of the proposed plan and procedures. Its primary purpose is to place the suggested procedures in the hands of board members for their comments and reactions. The superintendent should be present for the discussion.

6. Prepare final draft. Given the responses and reactions from the reviewing process, refinements can be made and the final draft completed. It is a good idea for the board and superintendent to go over the final draft before it is reproduced for adoption by the board.

7. Adopt the program. The board should officially adopt the evaluation program and procedures to assure that there will be no doubt about how the superintendent's performance will be evaluated. The procedures may be appended to the superintendent's contract. If and when a new superintendent "comes aboard," a section in the contract should refer to the established evaluation process (See pp. 26–27 of this publication.)

*8. **Put it into operation.*** It is possible that the first go-round may reveal some imperfections in the procedures. Perceived procedures and actual experience may not be quite the same. The first time a new or revised program is used can be considered a trial experience. Useful information can be gained for use in strengthening the process.

*9. **Make necessary modifications.*** If it becomes obvious that some alterations are needed in concept or process, modifications should be made without hesitancy. Two years, sometimes three, are usually required to refine an evaluation plan and make it fully effective.

*10. **Update the plan when necessary.*** Finally, it is a good idea to do a critical review of the plan, the procedures and the results. The evaluation plan should be kept up-to-date in order to meet the needs of the superintendent and to fulfill the expectations of the board.

Chapter 4

APPROACHES TO EVALUATION:

Conducting a Good Review

There are many different ways to evaluate the performance of superintendents. Each method has its own advantages and deficiencies. However, there are some ways to evaluate the superintendent that do not make very good sense. For example, informal, unwritten procedures are poor approaches.

- ***"No news is good news."*** Conceivably it might be said that as long as the superintendent is doing all right, there need not be an evaluation of his performance . . . "no news is good news." Only when something goes wrong is it time to evaluate. It is evident that it does not serve the best interest of the superintendent to operate on such a flimsy basis, nor is it wise for the board to neglect such a vital managerial function.

- ***Wait until the "roof falls in."*** This procedure carries "no news is good news" to a ridiculous extreme. When things have deteriorated to the point of crisis, it is too late to go through a formal process of evaluation. In fact, in such dire situations, decisions are usually made on the basis of emotion rather than reason.

- ***Informal, verbal sessions with the board.*** This approach is likely a common practice in many school systems. This method probably works when things are going well and there is continuity in the superintendency. It is also reasonably satisfactory in those instances where board-

superintendent relations are cordial and reasonably stable. On the other hand, to rely exclusively upon oral understandings involves many risks. Different persons hear things differently. Memory of what was said is less than dependable.

• ***Separate assessments by individual board members.*** This practice is undesirable. While individual board members may have different opinions about the superintendent's effectiveness, those feelings should be moulded into a general, composite assessment. The board should discuss the pros and cons of the superintendent's performance and then prepare a consolidated report.

• ***"Ax-grinding" assessments.*** These evaluations usually focus on pet peeves of individual board members. Weaknesses are stressed. It is likely that individual members may have particular gripes. These concerns should be discussed with the superintendent and dealt with on their merits. To accumulate gripes and make them the basis of the evaluation process is unsatisfactory both to the superintendent and to the board.

It can be concluded, therefore, that informal procedures have many more weaknesses than strengths. While formal rating procedures have shortcomings, they are preferable to informal oral techniques because they provide an explicit record of assessments.

Similarly while there is no fail-proof way to conduct these reviews, certain strategies exist which can be helpful in avoiding difficulties:

*1. **Plan well.*** Don't go in cold. Consider the results that are to be discussed. Give particular attention to negative results. Anticipate how

they should be handled. Try to prevent the conference from becoming less than productive.

2. ***Avoid pulling surprises.*** Surprises can ruin evaluation reviews. If communication between superintendent and board has been what it should have been throughout the year, the likelihood of surprises will be greatly reduced. Both parties should go into the evaluation review well aware of what will be discussed.

3. ***Emphasize what happened.*** Since the "bottom line" is supposed to be ***results,*** keep the focus on them. Try to minimize shifting to other matters that may not alter the desired direction of the review.

4. ***Use praise and criticism judiciously.*** Effusive praise and excessive criticism weaken rather than strengthen evaluation reviews. Praise, genuinely deserved and sincerely given, is a motivating force and will help make the conference productive. An overload of criticism is almost sure to weaken the conference. The key in using praise or criticism is in how it is done. A useful guideline is to apply the "golden rule" in the use of criticism.

5. ***Make the review a "two-way street."*** While the board may assume the primary role in the evaluation review, opportunity must be given the superintendent to state views and make comments about the evaluation results and the year's work. The conference should not be a one-way discourse.

6. ***Listen as well as talk.*** There is an art to conducting effective evaluation reviews. There should be a good balance between talking and listening. Neither party should monopolize the conversations. More can be learned by listening than by talking.

7. ***Keep cool.*** If the year's work has been substantially below par and evaluation results are more negative than positive, it is likely that emotions may get out of control. This situation calls for even-tempered management of the conference. Helping participants "keep their cool" will be the responsibility of the person in charge of the conference.

8. ***Be flexible.*** Careful planning for the evaluation review may go awry if unanticipated developments occur. The person in charge of the conference must be able to shift direction and steer the discussion around the shoals that threaten to wreck the conference. The goal is to make the conference productive and not let it get out of hand. Flexibility is needed.

9. ***Plan next steps.*** It is helpful to put understandings in writing. There should be no doubt who is to do what and when.

10. ***End positively.*** Every effort must be made to end the evaluation review on a positive note. Even if some of the year's results have been negative, it is still important to conclude the conference in a positive manner.

Chapter 5

EXAMPLES OF OPTIONS:

Choosing the Right Method

The examples provided in this Chapter are included primarily to illustrate different methods for evaluating the performance of superintendents. The examples are not meant to be recommended programs. Each school system should decide for itself which type best fits its situation and needs.

The following alphabetical list contains the plans that are most widely used:

A. Checklist Rating

B. Essay Evaluations

C. Evaluation by Objectives

D. Forced Choice Rating

E. Graphic Profiles

F. Performance (Work) Standards

A. CHECKLIST RATING

How Used:

- Individual board members independently rate superintendent's performance
- President of board convenes members to discuss assessments and to prepare composite evaluation
- Copy of composite evaluation transmitted to superintendent

- Conference scheduled with superintendent and board members to discuss evaluation

Frequency of Evaluation: Annually

Disposition of Forms:
- Superintendent given copy
- Board retains copy

A. Example

Superintendent Evaluation **Year:**_____

Name of Supt.:_____

Board President:_____

Directions: Circle the response that best reflects the consensus of the board with regard to each of the following items.

Always true
True most of the time
True about half the time
Seldom true
Never true
COMMENTS*

5 4 3 2 1

Superintendent:

1. Prepares carefully for board meetings 5 4 3 2 1
2. Provides ample information to enable board members to make decisions 5 4 3 2 1
3. Involves staff members in board meetings 5 4 3 2 1
4. Is responsive to concerns of board members 5 4 3 2 1
5. Answers questions of board members promptly 5 4 3 2 1
6. Handles media relations skillfully 5 4 3 2 1
7. Follows up promptly on requests of board 5 4 3 2 1
8. Keeps board fully informed about school operations 5 4 3 2 1

9.	Delegates responsibilities and authority to subordinates	5 4 3 2 1
10.	Implements fully board policies	5 4 3 2 1
11.	Interprets board policies to staff	5 4 3 2 1
12.	Is effective in management of business and fiscal affairs	5 4 3 2 1
13.	Advises the board on need for new and/or revised policies and procedures	5 4 3 2 1
14.	Is adept in personnel management	5 4 3 2 1
15.	Conducts employee relations skillfully	5 4 3 2 1
16.	Is knowledgeable and up-to-date in curriculum and instructional trends and developments	5 4 3 2 1
17.	Is effective in short and long-range planning	5 4 3 2 1
18.	Anticipates problems and is effective in preventive actions	5 4 3 2 1
19.	Maintains good relations with local governmental leaders	5 4 3 2 1
20.	Is effective in working with state legislative leaders	5 4 3 2 1
21.	Maintains effective working relationships with state department of education	5 4 3 2 1
22.	Knows how to pace self	5 4 3 2 1
23.	Keeps self physically fit	5 4 3 2 1
24.	Maintains good mental health ...	5 4 3 2 1
25.	Engages in activities to promote own professional growth and development	5 4 3 2 1

**If more space is needed, use reverse side.*

B. ESSAY EVALUATIONS

- Board meets and discusses the ten major areas covered in the superintendent's evaluation.
- Board reaches consensus regarding a summary paragraph for each area; one member is designated to prepare the summaries.
- Copy of summary evaluations is transmitted to superintendent
- Board members meet with superintendent to discuss the evaluation

Frequency of Evaluation: Annually

Disposition of Forms:

- Original to superintendent
- Copy to Board

B. Example

Superintendent Evaluation

Directions: Write a brief summary paragraph, under each of the following areas, indicating the board's assessments of the positive and negative accomplishments during the year. Make appropriate recommendations for the coming year. The assessments are to be a composite of the judgments of individual board members.

1. **Relations With the Board**
   Preparations for board meetings are thorough; materials provided are unusually detailed and copious. Presentations to the board are persuasive; recommendations are firm and well considered. Inquiries and requests of board members are responded to promptly. The board is kept informed on all aspects of the operations of the school system so that members are not caught off guard. ***Suggestion:*** Involve subordinates more in making presentations to board so that board members may be better able to see how they handle their managerial responsibilities. This can be a training experience for them.

2. **Management of Public Relations**
   Doing a good job with press, TV, and radio stations. Briefing ses-

sions with media people prior to board meetings have paid dividends. ***Suggestions:*** Need to find better ways to work with diverse ethnic groups. Also, must upgrade PR skills of building level administrators.

3. **Management of Curriculum and Instruction**
Gains made in increasing alternative educational opportunities for students have been substantial. Board is also pleased with the gains that have been made in achievement scores in reading and mathematics at the elementary level. ***Suggestion:*** Need to get more direct supervisory assistance for teachers at the building level.

4. **Business and Fiscal Management**
The superintendent's office and the cabinet level administrators do a good job in business management and in handling fiscal affairs. The board is pleased with operations at this level. ***Suggestion:*** Need to up grade the business management skills of all administrators and supervisors below the cabinet level. This should be one of the thrusts during the coming year.

5. **Long and Short-Range Planning**
It is the board's perception that comprehensive planning has leveled off and is on a plateau. The enthusiasm of two years ago seems to have dwindled. The negative attitude of the teachers' organization to our comprehensive planning model seems to be a roadblock. ***Suggestion:*** An attempt should be made, during the coming year, to re-kindle the enthusiasm level for our long-range planning program.

6. **Staff Personnel Management**
The personnel department appears to be operating at a high level of efficiency. However, now that the need for employing new teachers is greatly lessened, there is a need to increase the effectiveness of teaching personnel. ***Suggestion:*** The teacher evaluation program needs to be critically analyzed to see if it is effective. Perhaps this should be a project for the coming year. ***Suggestion:*** Make an analysis of the reasons for the apparently large number of grievances in the administration of the master contract to see if management of the contract can be improved.

7. Student Personnel Management

Discipline in the schools seems to have improved. This is commendable. But, we need to keep at it. ***Suggestion:*** Consolidate gains made in the improvement of discipline and work with schools where the problem is still acute.

8. Management of Physical Facilities

Some gains have been made in improving the physical appearance in buildings and grounds at local school levels. This is an encouraging development and hopefully it will continue. ***Suggestion:*** Consider initiating an on-going training program for personnel in building and grounds maintenance for the coming year. Work with building level managers, particularly in schools where the need is the greatest, to see if some more gains can be achieved during the coming year.

9. Personal and Professional Qualities

Your performance in this area has been exemplary. Your actions and activities as a professional leader are a great credit to the community, the school system, and the board itself.

10. Overall Assessment

On a scale of 1 to 10, we believe that your performance, during the past year, rates 7.5. The board is pleased with your work and commends you for a job well done. We urge you to move ahead on as many of the above suggestions as may be feasible.

Signatures: _____ **Date:** _____
President of Board

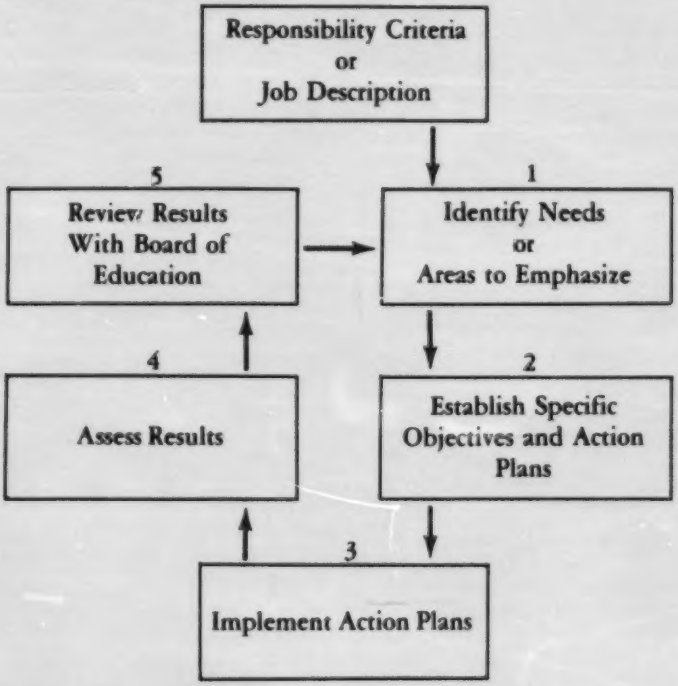
_____ **Date:** _____
Superintendent

C. EVALUATION BY OBJECTIVES

Evaluation by objectives, as a process for evaluating the superintendent, can be accomplished in various ways. If this option is adopted, the superintendent and board will have to decide which format is best suited for the school system. The graphic description of the one option that follows is not meant to be a prescription; it is merely used to clarify the essential aspects of the EBO approach.

C. Example

Evaluation of Superintendent



Evaluation Cycle

Responsibility Criteria
or
Job Description

- Developed by the superintendent
- Reviewed by Board of Education
- Updated annually
- Used as:

  (a) Definition of duties
  (b) Basis for determining needs
  (c) Guide to assess overall effectiveness in major areas of responsibility

---

Responsibility Criteria
(Examples)

100 — Board Relations

101 — Preparation of reports and materials for the board
102 — Presentation of reports to board
103 — Recommendations to the board
104 — Responding to requests from the board
105 — Keeping the board informed about operations in district
106 — Implementation of board actions
107 — Other (specify)

200 — Community-Public Relations

201 — Contacts with media
202 — Interpreting district problems and concerns to community and public
203 — Interpreting the educational program to the community
204 — Responding to concerns of community

205 — Periodic communications (publications, reports, newsletters, etc.) to community
206 — Other (specify)

300 — Staff Personnel Management

301 — Employment of personnel
302 — Utilization of employed personnel
303 — Administration of personnel policies and procedures
304 — Administration of salary and benefits program
305 — Direction of employee relations program
306 — Administration of personnel evaluation programs
307 — Other (specify)

400 — Business and Fiscal Management

401 — Determination of educational needs of district
402 — Forecasting financial requirements
403 — Budget preparation
404 — Management of budget allocations
405 — Cost accounting and cost effectiveness management
406 — Procurement of equipment, materials, supplies, etc.
407 — Financial reporting
408 — Other (specify)

500 — Facilities Management

501 — Planning and providing physical facilities
502 — Management of maintenance of buildings and grounds
503 — Providing for the security and safety of personnel and property
504 — Planning for and managing modifications, renovations, expansions, and discontinuation of facilities
505 — Directing the utilization of facilities
506 — Other (specify)

600 — Curriculum and Instructional Management

601 — Keeping current with trends and developments in curriculum and instruction
602 — Initiating new programs, modifying existing ones, and discontinuing others

603 — Direction of supervision of instruction
604 — Monitoring effectiveness of instructional programs
605 — Assessment of effectiveness of instructional programs
606 — Planning and direction of inservice and staff development
607 — Management of state and federal programs and projects
608 — Other (specify)

700 — Management of Student Services

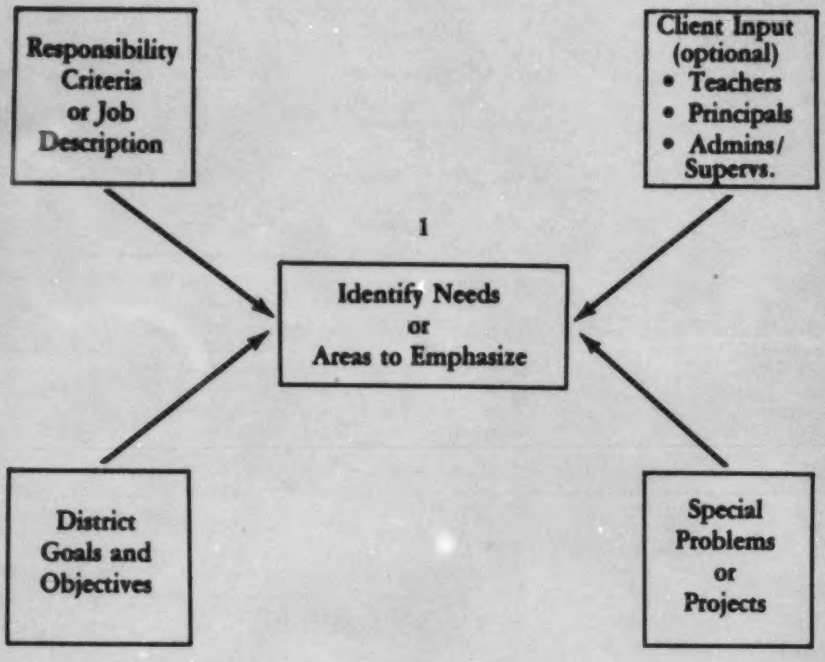
701 — Providing comprehensive student personnel services
702 — Management of enrollment and attendance policies and procedures
703 — Management of student behavior and discipline
704 — Providing for health and safety of students
705 — Liaison with community agencies concerned with student services
706 — Other (specify)

800 — Comprehensive Planning

801 — Developing and implementing short and long-range planning
802 — Developing management systems (example: MBO)
803 — Training administrators and supervisors in planning
804 — Accountability procedures
805 — Evaluation of planning results
806 — Other (specify)

900 — Professional and Personal Development

901 — Keeping self current professionally
902 — Representing district at local, state, and national meetings of interest to education
903 — Contributions to profession by writing and speaking
904 — Participation in local, state, and national professional organizations
905 — Other (specify)



Needs Emerge From:

- Aspects of job that need strengthening
- District goals and objectives
- Special problems or projects

2

Establish Specific Objectives and Action Plans

Objectives should be:

- Challenging
- Realistic
- Measurable

Objectives should be written to show:

- What's to be done
- By whom
- By what date
- Outcome expected
- Method of measurement

Action plan:

- Implementing activities for each objective
- Estimated dates of completion

3

Implement Action Plans

- Implementation is responsibility of superintendent
- Implementation consists of carrying out action plans
- One or more interim check-up reporting sessions with board of education will be useful

4

Assess Results

- Superintendent completes self-assessment of extent to which objectives were achieved
- Board assesses effectiveness of superintendent in major areas of responsibility
- Superintendent provides board with assessments of extent to which objectives were achieved
- Board provides superintendent with assessments in major areas of responsibility

5

Review Results With Board of Education

- Board schedules conference with superintendent to discuss:
  (a) Superintendent's self-assessments
  (b) Board's assessments
- Follow-up plans are formulated and discussed
- Forms are signed and distributed

Superintendent's Self Assessment of Specific Objective

Copies: Orig.-Supt. 1st-Board

Example Form A

Supt. Name_____ School Year:_____

Directions: In space provided, indicate the objective and action plan which will be carried out, based upon an identified need or area needing emphasis on either ***Responsibility Criteria*** or ***Job Description.*** At end of year, assess results achieved, in space provided at bottom of form. Distribute copies as indicated in upper right corner. PUT ONLY ONE OBJECTIVE ON ONE FORM A, USING AS MANY FORM A'S AS OBJECTIVES WRITTEN.

Objective **Outcome** **Measurement**

Action Plan

Assessment

The extent to which the above objective was achieved is shown at right. (Check)

E = Results ***exceeded*** desired outcome E____
M = Results ***met*** desired outcome M____
*B = Results were ***below*** desired outcome B____

*Explain reasons on reverse side of this form

Board's Assessment of Superintendent's Performance
(Major Areas of Responsibility)

Copies:
Orig.-Board
1st-Supt.

Example
Form B

Supt's. Name:_____ School Year:_____

Directions: After individual board members have discussed superintendent's performance in each of the following ***Major Areas of Responsibility***, complete an assessment reflecting the composite judgment of the board. Check the appropriate symbol in the assessment column. If some aspect of the superintendent's performance merits particular praise or if improvement is needed in some area, indicate it in the *Comments* space below.

Assessment Symbols:

C = Commendation (Performance exceeded expectations)
M = Performance ***met*** expectations
NI = Needs Improvement (Needs explanation in *Comments* section)

Major Areas of Responsibility	Overall Assessment		
	C	M	NI
100 — Board Relations			
200 — Community-Public Relations			
300 — Staff Personnel Management			
400 — Business and Fiscal Management			
500 — Facilities Management			
600 — Curriculum and Instructional Management			
700 — Management of Student Services			
800 — Comprehensive Planning			
900 — Professional and Personal Development			

Comments: (Use this space to cite praiseworthy achievements and/or areas that should be improved.)

Signatures: (Superintendent's signature does not necessarily indicate concurrence.)

President of Board: _____ Date: _____

Superintendent: _____ Date: _____

D. FORCED CHOICE RATING

How Used:

- Board meets to discuss the performance of the superintendent
- Using the items indicated, a consensus judgment is reached as the assessment that ***best describes*** the superintendent's performance
- A completed consensus copy of the assessments is provided the superintendent
- A meeting is convened with the superintendent and board to discuss the assessments

Frequency of Evaluations: Annually

Disposition of Forms:

- Original to Superintendent
- Copy retained by Board

D. Example

Superintendent's Evaluation

Name of Supt.: _____ School Year: _____

Directions: After individual board members have discussed the superintendent's performance, using the items listed below, prepare a composite assessment that best describes the effectiveness of the superintendent.

1. **Materials and reports prepared for the board:**

   ____ (a) Always comprehensive and detailed
   ____ (b) Usually complete and thorough
   ____ (c) Sometimes lacking in depth and detail
   ____ (d) Persistently poorly done

2. **Presentations and recommendations to the board:**

   ____ (a) Extremely forthright and convincing
   ____ (b) Usually thoughtful and sound
   ____ (c) Occasionally less than carefully prepared
   ____ (d) Persistently shallow and unreliable

3. **Communications with the board:**

   ____ (a) Always open and forthcoming
   ____ (b) Generally positive and informative
   ____ (c) Inconsistent and unreliable, at times
   ____ (d) Extremely erratic and sometimes devious

4. **Fulfilling requests of the board:**

   ____ (a) Consistently meticulous and responsive
   ____ (b) By and large, prompt in compliance
   ____ (c) Many requests are complied with slowly
   ____ (d) Responses are rarely adequate or on time

5. **Contacts with media:**

   ____ (a) Has extremely high credibility with media
   ____ (b) Is straightforward and cooperative with media
   ____ (c) Relations with media frequently strained and tenuous
   ____ (d) Relations are continually negative

6. **Interpreting educational programs to community:**

____ (a) Always with enthusiasm and conviction
____ (b) Sustains a consistent program of interpretation
____ (c) Stresses some programs; puts less emphasis on others
____ (d) Makes a minimum effort in interpretation

7. **Periodic communications (reports, newsletters, etc.):**

____ (a) Extremely illuminating and well-received
____ (b) For the most part, interesting and attractive
____ (c) Frequently do not reflect high standards of quality
____ (d) Many are dull and ineffective

8. **Management of personnel employment:**

____ (a) Sustained record of employment of top-level employees
____ (b) Generally able to fill vacancies with able people
____ (c) Occasionally some positions have to be filled with less able persons
____ (d) Employment procedures are haphazard and ineffective

9. **Utilization of staff personnel:**

____ (a) Outstandingly successful in utilizing services of personnel
____ (b) Most persons are placed in positions suited to their talents
____ (c) Some mismatching of persons with positions takes place
____ (d) Low morale results from poor utilization of personnel

10. **Salary and benefits management:**

____ (a) Attractive, but realistic, salary levels and benefits are consistently maintained
____ (b) Salary and benefits programs are generally well managed
____ (c) Some fluctuation exists in salary and benefits programs
____ (d) Many problems persist in salary and benefits management

11. **Employee relations:**

____ (a) Relations are positive and operating smoothly
____ (b) Employer-employee relations are on an even keel most of the time
____ (c) Upheavals in employee relations occur frequently

___ (d) Strained employer-employee relations go on unabated

12. Determining educational needs:

___ (a) Estimation of educational needs is unusually accurate and far-sighted
___ (b) Predictions of educational needs are generally accurately calculated
___ (c) Frequently difficulties are experienced in determining educational needs
___ (d) Extreme problems are experienced in estimating educational needs

13. Budget preparation:

___ (a) Budget preparation is an outstandingly effective operation
___ (b) Preparing the budget is done with care and accuracy
___ (c) Several problems are usually encountered in preparing budgets
___ (d) Budget preparation is one of the poorest operations done

14. Budget management:

___ (a) Controls over expenditures are extremely efficient and the results are commendable
___ (b) Budget management procedures are well designed and effective
___ (c) Several budget management procedures are in need of strengthening
___ (d) Controls over expenditures are persistently poor

15. Cost-effectiveness in management:

___ (a) This is an area of demonstrated success, year after year
___ (b) Gains are being made in making administrators and supervisors more effective in this area
___ (c) There is still quite a way to go before this can be considered an area of clear success
___ (d) There is practically no evidence that this is a high priority concern in management operations

16. **Financial reporting:**

____ (a) Unusually efficient and praiseworthy
____ (b) Most reports are well-designed and punctual
____ (c) Inadequate reporting occurs from time to time
____ (d) Reporting is consistently inadequate

17. **Managing physical facilities:**

____ (a) Unusual insight and thoughtfulness are continually exhibited
____ (b) For the most part facilities management meets needs of district
____ (c) Much needs to be done to upgrade facilities management
____ (d) Most facilities management appears to be "too little, too late"

18. **Instructional planning and development:**

____ (a) Outstanding initiatives typify instructional planning and development
____ (b) Strides are being made to improve planning and development in curriculum and instruction in the district
____ (c) Several deficiencies exist which should be corrected
____ (d) Very little is being done in instructional planning and development activities

19. **Direction of supervisory services:**

____ (a) Overall leadership is imaginative and productive
____ (b) Direction is perceived as being primarily managerial in nature
____ (c) Too much unevenness in direction of supervisory services
____ (d) Supervisory staff is left too much to shift for itself

20. **Monitoring effectiveness of instructional program:**

____ (a) Monitoring results have made a marked and gratifying difference in the effectiveness of the instructional programs
____ (b) Most monitoring procedures are thorough and reasonably effective

58

____ (c) "Starts and stops" characterize monitoring techniques

____ (d) Minimal concern and attention given to monitoring instructional programs, have little effect upon improvement of instruction

21. Evaluating instructional outcomes:

____ (a) Rigorous evaluation techniques have yielded positive dividends in instructional improvement

____ (b) Evaluation has proved useful and helpful

____ (c) More emphasis is placed upon data collection than upon data usage

____ (d) Low commitment to evaluation of instructional outcomes permeates the teaching staff

22. Providing comprehensive student services:

____ (a) Unusual efforts in providing a broad range of services have paid handsome dividends

____ (b) The range of student services has been broadened in many ways

____ (c) Several gaps exist in student services

____ (d) Limited changes and few innovations have been made in the number and quality of student services

23. Management of attendance:

____ (a) Rigorous standards and persistent efforts to improve attendance have achieved marked results

____ (b) Some gains have been made in the district as a whole

____ (c) Efforts, across the district, are quite uneven

____ (d) Very little direct action to improve attendance has taken place

24. Management of student behavior and discipline:

____ (a) Gains in better behavior have been gratifying and noteworthy

____ (b) Some gains have been achieved in both areas

____ (c) More consistent effort will be required to make desired gains

____ (d) Remains most "unsolved" problem in student affairs

25. Providing for health and safety of students:

____ (a) Results have been extraordinarily successful
____ (b) Moderate improvements have been achieved
____ (c) Some serious difficulties persist
____ (d) Massive resistance prevails in efforts to take vigorous action

26. Developing and implementing comprehensive planning:

____ (a) Results have exceeded expectations
____ (b) Progress in comprehensive planning has been moderate
____ (c) Substantial obstacles continue to stall progress
____ (d) Prospects for ultimate success are very bleak

27. Accountability:

____ (a) Accountability mechanisms have been very successful
____ (b) Gradual acceptance is being experienced throughout the district
____ (c) Accountability is more theory than reality
____ (d) Little or no success has occurred in holding people more accountable

28. Evaluation of planning results:

____ (a) Much deeper commitment to meaningful evaluation is evident
____ (b) Results are reasonably satisfactory
____ (c) There is great unevenness throughout the district
____ (d) Widespread opposition to evaluation of planning results persists

29. Professional qualities:

____ (a) Effective in every sense of the word
____ (b) Many gains have been made in past year
____ (c) A low profile is maintained in involvement in professional organizations and their activities
____ (d) Makes minimal contributions to professional endeavors

30. Personal attributes:

____ (a) Displays all the qualities required for successful leadership
____ (b) Well-organized and well-adjusted in most areas of personal behavior
____ (c) Has some areas where improvement is needed
____ (d) Some serious deficiencies persist

Comments

Signatures: (Superintendent's signature does not necessarily indicate concurrence.)

President of Board:_____ Date:_____

Superintendent:_____ Date:_____

E. GRAPHIC PROFILES

An example of a graphic profile is shown on the following page. Thirty items to be rated are indicated in Column A and a nine-point scale is provided in Column B. The rater places an (x) in the appropriate space, under the desired letter rating. After all items have been rated, it is possible to join all of the (x's) with a line. This procedure will result in a graphic presentation of the evaluation.

One of the drawbacks in using graphic ratings is that raters are making general judgments. They may or may not have explicit "evidence" to substantiate their judgments.

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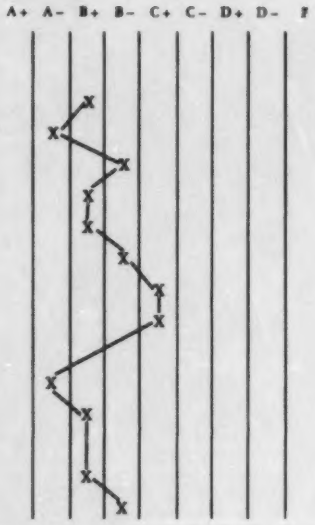
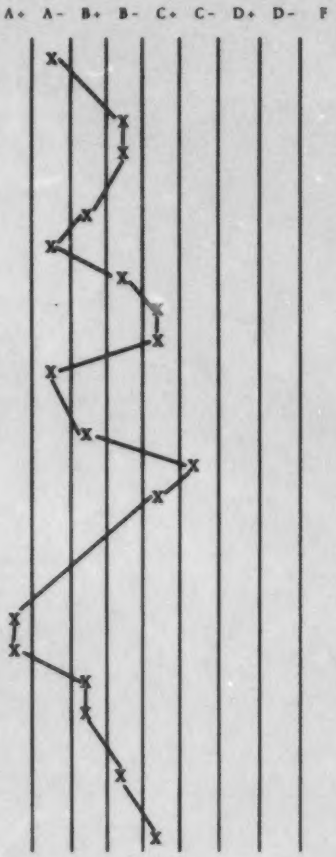
How Used:	• Individual board members rate the superintendent's performance independently • President of the board convenes the members to discuss assessments and to prepare a composite evaluation • Copy of the composite evaluation is transmitted to the superintendent • A meeting is arranged with the superintendent and members of the board to discuss his (her) evaluation
Frequency of Evaluations:	Annually
Disposition of Forms:	• Original to superintendent • Copy retained by board

E. Example

Column A	**Column B**
I. Relationships With: 1. Board of Education ..... 2. Administrators/Supervisors... 3. Teachers ..... 4. Students ..... 5. Parents ..... 6. Community/Public ..... 7. Media ..... 8. Pressure groups ..... 9. State Department of Education ..... 10. State Legislature ..... 11. Institutions of Higher Learning ..... 12. Local government agencies ...	

II. Leadership Effectiveness in:



13. Curriculum and Instruction . . .
14. Staff personnel management . . . . . .
15. Employee relations . . . . . .
16. Student personnel management . . . . . .
17. Educational planning . . . . . .
18. Research and development . . .
19. Program evaluation . . . . . .
20. Personnel evaluation . . . . . .
21. Business management . . . . . .
22. Financial and fiscal management . . . . . .
23. Crisis management . . . . . .
24. Management of change . . . . . .

III. Professional and Personal Competencies:

25. Mental health . . . . . .
26. Physical health . . . . . .
27. Interpersonal relations . . . . . .
28. Personal qualities . . . . . .
29. Involvement in professional organizations . . . . . .
30. Participation in growth activities . . . . . .

IV. Signatures: (Superintendent's signature does not necessarily mean concurrence.)

President of Board: _____ Date: _____

Superintendent: _____ Date: _____

F. PERFORMANCE (WORK) STANDARDS

How Used:

- Superintendent, using ***Responsibility Criteria*** or ***Job Description***, prepares one or more performance standards in each major area
- List of proposed performance standards is submitted to board for review
- Board reviews proposed standards, approving, modifying, and/or adding others
- Superintendent meets with board to discuss proposed standards and to reach consensus on those which the superintendent will work on during the year
- Superintendent will work to achieve the agreed on standards
- Superintendent completes self-assessment of extent to which standards have been achieved
- Self-assessments are transmitted to board for review and reaction
- Superintendent meets with board to discuss self-assessments and board's reactions

Frequency of Evaluations: Annually

Disposition of Forms:

- Original to Superintendent
- Copy retained by Board

F. Example

Area 100 — Board Relations

Performance Standards:

103 — Will consider my performance successful in presenting recommendations to the board of education, during the coming year, if at least 90% are accepted and approved by the board.

Assessment (check)	Review by Board (check)
____ Fully achieved	____ Fully concur
____ Partially achieved	____ Concur, in part
____ Not achieved	____ Don't concur

106 — Will regard my performance successful, during the coming year, if the average time lag in fully implementing board actions is no more than 30 days.

Assessment (check)	Review by Board (check)
____ Fully achieved	____ Fully concur
____ Partially achieved	____ Concur, in part
____ Not achieved	____ Don't concur

Area 200 — Community/Public Relations

201 — Will consider my performance successful, during the forthcoming year, in my contacts with newspaper, TV, and radio people if newspaper stories, editorials, telecasts and broadcasts are accurate in explaining school district programs at lease 85 percent of the time.

Assessment (check)	Review by Board (check)
____ Fully achieved	____ Fully concur
____ Partially achieved	____ Concur, in part
____ Not achieved	____ Don't concur

205 — During coming year, will institute a weekly ten-minute series of video-taped messages for parents and patrons, on matters of interest to them, and make tapes available to TV stations. Will consider these programs successful if viewer response, as measured by invited requests for reactions, is at least 70% positive and favorable.

Assessment (check)	Review by Board (check)
____ Fully achieved	____ Fully concur
____ Partially achieved	____ Concur, in part
____ Not achieved	____ Don't concur

Area 300 — Staff Personnel Management

Performance Standards:

304 — Will judge my performance successful, during the coming year, if negotiated agreement on salaries and benefits with all employee groups can be reached within time span established for negotiations and if average increases in salaries and benefits can be kept in 5–7% range.

Assessment (check)
____ Fully achieved
____ Partially achieved
____ Not achieved

Review by Board (check)
____ Fully concur
____ Concur, in part
____ Don't concur

306 — In the area of the administration of personnel evaluation programs, will consider myself to be successful if complete revisions are completed in policies and procedures governing personnel evaluation for all certificated and classified administrators and supervisors. Completion date to be on or before close of coming school year.

Assessment (check)
____ Fully achieved
____ Partially achieved
____ Not achieved

Review by Board (check)
____ Fully concur
____ Concur, in part
____ Don't concur

Area 400 — Business and Fiscal Management

Performance Standards:

406 — Will regard performance successful, during coming year, in procurement of educational materials and supplies if an average 10% decrease in time is achieved between placing and delivery of orders, at the local school level.

Assessment (check)
____ Fully achieved
____ Partially achieved
____ Not achieved

Review by Board (check)
____ Fully concur
____ Concur, in part
____ Don't concur

Area 500 — Facilities Management

Performance Standards:

502 — Will regard performance successful, during forthcoming year, if improvements in the external appearance of school buildings and grounds are achieved so that each school site will rate no lower than 7.5 (on a ten-point scale) by an inspection committee established for that purpose.

Assessment (check)	**Review by Board (check)**
____ Fully achieved	____ Fully concur
____ Partially achieved	____ Concur, in part
____ Not achieved	____ Don't concur

Area 600 — Curriculum and Instructional Management

603 — Will, during coming year, re-deploy services of supervisory staff so that more direct observational and assistance services will be provided teachers. Action will be judged successful if 75% of teachers receiving such services regard them as beneficial, based upon a questionnaire survey administered at end of the year.

Assessment (check)	**Review by Board (check)**
____ Fully achieved	____ Fully concur
____ Partially achieved	____ Concur, in part
____ Not achieved	____ Don't concur

606 — Will direct improvement program for all building level administrators, during coming year, to upgrade their management skills. The program will be judged successful if 90% of those who take the training judge it useful and at least 75% of department heads report improvements in administrators' management skills.

Assessment (check)	**Review by Board (check)**
____ Fully achieved	____ Fully concur
____ Partially achieved	____ Concur, in part
____ Not achieved	____ Don't concur

Area 700 — Management of Student Services

Performance Standards:

703 — Will institute a comprehensive and rigorous program to improve student behavior and reduce discipline problems in schools. Program will be considered successful if the average numbers of:

(a) referrals to counselors are reduced by 15%
(b) suspensions are decreased by 20%
(c) referrals to social agencies are reduced by 10%

Assessment (check)	**Review by Board (check)**
____ Fully achieved	____ Fully concur
____ Partially achieved	____ Concur, in part
____ Not achieved	____ Don't concur

Area 800 — Comprehensive Planning

Performance Standards:

803 — During coming year, will install a program to train building level administrators to:

(a) increase their understanding and abilities to relate test score results more realistically in formulating instructional objectives and
(b) relate objectives more directly to budget allocations.

The program will be considered successful if 75% of building administrators demonstrate proficiency in applying what they learned as judged by appropriate central office department heads.

Assessment (check)	**Review by Board (check)**
____ Fully achieved	____ Fully concur
____ Partially achieved	____ Concur, in part
____ Not achieved	____ Don't concur

Area 900 — Professional and Personal Development

Performance Standards:

903 — Will increase by 20% the number of speaking engagements in promoting educational programs of the district and will consider the effort successful if the target is attained and audience receptivity is positive and feedback from community is favorable.

Assessment (check)	**Review by Board (check)**
____ Fully achieved	____ Fully concur
____ Partially achieved	____ Concur, in part
____ Not achieved	____ Don't concur

Area 1000 — Other (specify) — Organizational Structure

Performance Standards:

Will form small task force to study organizational structure of central office to make recommendations as to feasibility of reorganizing and reducing number of departments. Will regard the project as having been successfully achieved, at the end of the school year, if acceptable recommendations are ready for presentation to the board of education.

Assessment (check)	**Review by Board (check)**
____ Fully achieved	____ Fully concur
____ Partially achieved	____ Concur, in part
____ Not achieved	____ Don't concur

Comments by Board

Overall Assessment: (Check)

____ Highly satisfactory (with commendation)
____ Satisfactory
____ Acceptable
____ Below expectations of the board
____ Unsatisfactory

Signatures: (Superintendent's signature does not necessarily mean concurrence.)

President of Board:_____ Date:_____

Superintendent:_____ Date:_____

Chapter 6

SOME GUIDELINES:

Establishing the Objective Approach

The quest for a more effective way to evaluate superintendent performance is tedious. The tendency to stick with conventional techniques is deeply ingrained. There are ample reasons for pressing on to adopt more promising, objective procedures. Reasons for the objective approach include:

- ***To promote improved performance.*** Evaluation should enable the superintendent to become more effective. This notion rests upon the premise that a successful person can become even more so, and a less effective individual can attain greater competence, given the opportunity and a more imaginative evaluation process.

- ***To facilitate planning.*** The route to improvement is through planning. Unless the superintendent and board plan together, it is unlikely that desired improvement in performance can or will occur. Planning must be an integral part of evaluation. It consists of a step-by-step process enabling the participants to move toward intended ends. Systematic planning, including the establishment of objectives, implementation, and measurement of results is the best route to more meaningful evaluation.

- ***To generate collaboration.*** Planning through partnership is a promising aspect of superintendent evaluation.

- *To use specific objectives.* Evaluation is best accomplished through use of specific objectives which reflect, as closely as possible, mutual agreement of the superintendent and board. Obviously, objectives should be responsive to needs the superintendent feels should be addressed. Objectives define directions. They are our best means for promoting improved performance.

- *To emphasize results.* It is important that final judgments about the superintendent's effectiveness be based on measurable results. The "bottom line" in evaluation should be based upon what really happened and not upon effort and good intentions.

- *To increase motivation.* Without motivation, an individual is unlikely to feel a sense of satisfaction or attain desired outcomes. Accomplishing worthwhile objectives is motivational and makes assessment of the superintendent's performance a more satisfying experience for both the board and the superintendent.

These reasons alone justify the time and effort spent in developing a sound evaluation plan.

Problems to Solve

It would be less than honest not to point out that there are problems in adopting a more comprehensive approach to evaluation. These problems include:

- *Reconciling divergent expectations.* It is possible the superintendent and board may have divergent expectations about the evaluation of the superintendent's performance. For example, improvement and termination are likely to be conflicting expectations. Motivation and control are also opposing expectations. Even praise and

criticism, used in evaluation, can be counteractive.

It is desirable to achieve consensus in expectations, if possible. Although it cannot be done in every instance, the gap should be narrowed.

• ***Coping with time constraints.*** Finding time to carry out the evaluation process may be a problem. The number of details confronting most superintendents puts a strain on the ability to complete the evaluation process. What often seems like an unending number of meetings mortgage time. Emergencies abound. Crises proliferate. It could be argued that it is unrealistic to adopt a plan of evaluation simply because it will consume more precious time.

However, to yield to the argument that there is no time for comprehensive evaluation procedures is to beg a more important question. What should be the primary purpose of evaluation? It seems reasonable to suggest that part of the solution to "time drain" is better "time management." More effective time management can help clear time for evaluation and increase effectiveness in all aspects of managerial performance.

• ***Ameliorating varying attitudes.*** Attitudes toward evaluation vary. Those attitudes may include apathy, apprehension, indifference, cynicism, hostility, or acceptance. It may not be easy to alter different attitudes. However, an attempt should be made to change feelings from negative to positive.

• ***Giving relevancy to evaluation.*** A great deal depends upon whether evaluation is seen as being related to the on-going job or as just another "add-on" activity. If evaluation is regarded as an "add-on" activity, it will be

given a low priority in the individual's value system. Without relevancy to on-going duties, evaluation is bound to be regarded as a needless burden.

• ***Building a conducive climate.*** Quality relationships between the board and superintendent can be a problem. If these relationships are positive the chances of evaluation attaining desired outcomes are enhanced. On the contrary, if these relationships are negative, characterized by distrust and cynicism, the chances for success are sharply reduced. It is much easier to maintain and further improve good relationships than to turn negative relationships around.

Where these and other problems exist, it will be necessary to search for causes and try to remove them. While total success may be elusive, ignoring difficulties will prove detrimental to achieving a good evaluation program.

• ***Making evaluation a motivating experience.*** Making evaluation motivational may be easier said than done. Two conditions are likely to control the situation. The first is the type of evaluation used and the second is the manner in which it is carried out. For example, a simple report card type of assessment is not very motivational.

If the evaluation process is to yield positive and productive benefits, it must be more than a culminating post-performance, checklist type of assessment. Emphasis should be upon: careful definition of responsibilities, a meticulous identification of needs, the establishment of relevant objectives and action plans, assessments of these plans, general estimates of effectiveness in all major areas of responsibility, and a culminating conference. The outcome of this type of evalua-

tion can be and is likely to be positive and productive.

Even more significant, however, is ***the way*** the evaluation process is carried out. At stake here are fidelity in carrying out each step or phase of evaluation, the attitudes of both parties toward evaluation, the quality of interpersonal relationships between superintendent and board, and the use of results. In short, ***what is done*** in evaluation is important,but ***how it is performed*** is crucial if it is to be motivating for the superintendent and satisfying for the board.

While some problems are inherent in the evaluation process, none are insurmountable. They are described in this book primarily to enable superintendents and boards to avoid pitfalls as they design and implement evaluation programs.

Good Evaluation and Good Education

Evaluating the Superintendent is designed to serve as a resource for school systems in establishing effective evaluation systems. Evaluation plays many roles. It is motivational. It is an aid in planning. It is developmental. It aids in communication. And ultimately, effective evaluation helps to assure a good education for students in our nation's schools.

Selected References

• Booth, Ronald R. and Glaub, Gerald R. ***Planned Appraisal of the Superintendent,*** Springfield, Illinois: Illinois Association of School Boards (330 Iles Park Place, 62718), 1978, 87 pp.

A handbook emphasizing a "performance-based program" of appraisal of the superintendent's performance. It covers a rationale for appraisal, the significance of board-superintendent relations in evaluation, determining an appraisal process, and steps to achieve a program. In addition, a workbook entitled "Ten Exercises Toward Planning a Superintendent Appraisal System" accompanies the handbook.

• Carol, Lila N. "A Study of Methods for Evaluating Chief School Officers in Local School Districts." Management Information Series No. 1, New Jersey School Boards Association, Trenton, New Jersey: (Box 909, 08605), (October 1972) 56 pp.

Consists of a paper to discover how chief school officials are evaluated by their boards of education, with recommendations for improving appraisal techniques.

• Cuban, Larry. "Why not tell the superintendent what you think of him . . . at least twice a year?" ***Updating School Board Policies,*** Vol. 8/No. 11 (November 1977), pp. 1–3, 5–6.

Indicates that superintendents desire to be evaluated both formally and frequently so that improvements may be made in performance and also to preserve, to the extent possible, greater job security. Boards are urged to use a variety of techniques in evaluating the superintendent.

- ***Evaluating Superintendents and School Boards,*** Educational Research Service, Inc. (1800 North Kent Street, Arlington, Virginia 22209), 1976. 120 pp.

  An ERS Report, summarizing current procedures used to evaluate superintendents and boards of education. The volume includes descriptions of different types of procedures being used in selected school districts.

- Fowler, Charles W. "When Superintendents Fail." ***The American School Board Journal*** (February 1977) pp. 21–23.

  Details reasons why superintendents fail and suggests some critical procedures that need to be followed in the selection process, and provides policy statements for establishing mutual board-superintendent evaluation.

- Hawkins, Wilbur D. "Performance Evaluation: Starting With the Superintendent." ***Thrust for Education Leadership,*** Vol. 2/No. 2 (November 1972) pp. 42–44.

  An article that shows how the performance requirements for the superintendent are also used as the basis for evaluating the administrative staff.

- Herman, Jerry J. "Here's a report card to use to evaluate your school board—and its members." ***The American School Board Journal*** (March 1978) pp. 50, 60.

  Provides a forty item list of questions which can be used by a board of education to assess its performance.

- Hoffner, James R. "Evaluation of Superintendent." ***Thrust for Education Leadership,*** Vol. 2/No. 2 (November 1972) pp. 40–41.

The importance of a formal, written evaluation of the superintendent's performance is emphasized and three criteria are stressed; namely, use of the position description, emphasis upon role expectation, and use of management by objectives techniques.

- Hoover, Carl and Slezak, Jim. "The Board and Superintendent Defined Their Respective Responsibilities—and Their Schools Are Better For It." ***The American School Board Journal,*** Vol. 165/No. 5 (May 1978) pp. 38–40.

  A description of a plan whereby superintendent and board carefully clarify the limits and flow of authority necessary for both parties to understand better their working relationships.

- Lewis, Edmund L. "Evaluation of a Superintendent." (Guidelines to Assist School Board Members in Planning and in Evaluation.) Revised. ***California School Boards Association*** (916 Twenty-third Street, Sacramento 95816). (January 1977), 27 pp.

  Consists of a two-part survey, the purpose of which is to suggest ways to conduct an assessment of district needs and to assist a school board in establishing priorities for appraising the performance of the superintendent.

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